

0925594 0105010 16595260

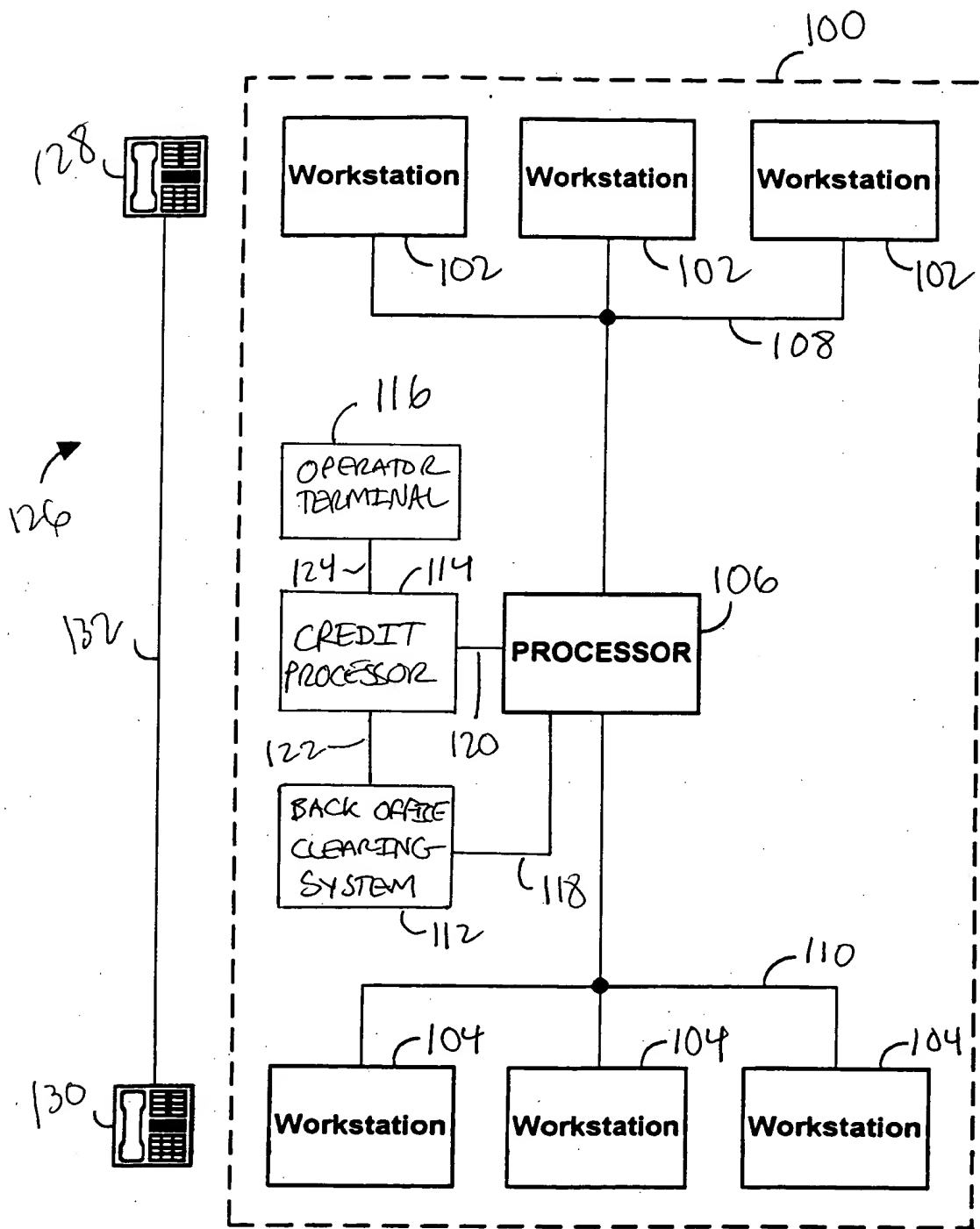


FIG. 1

200

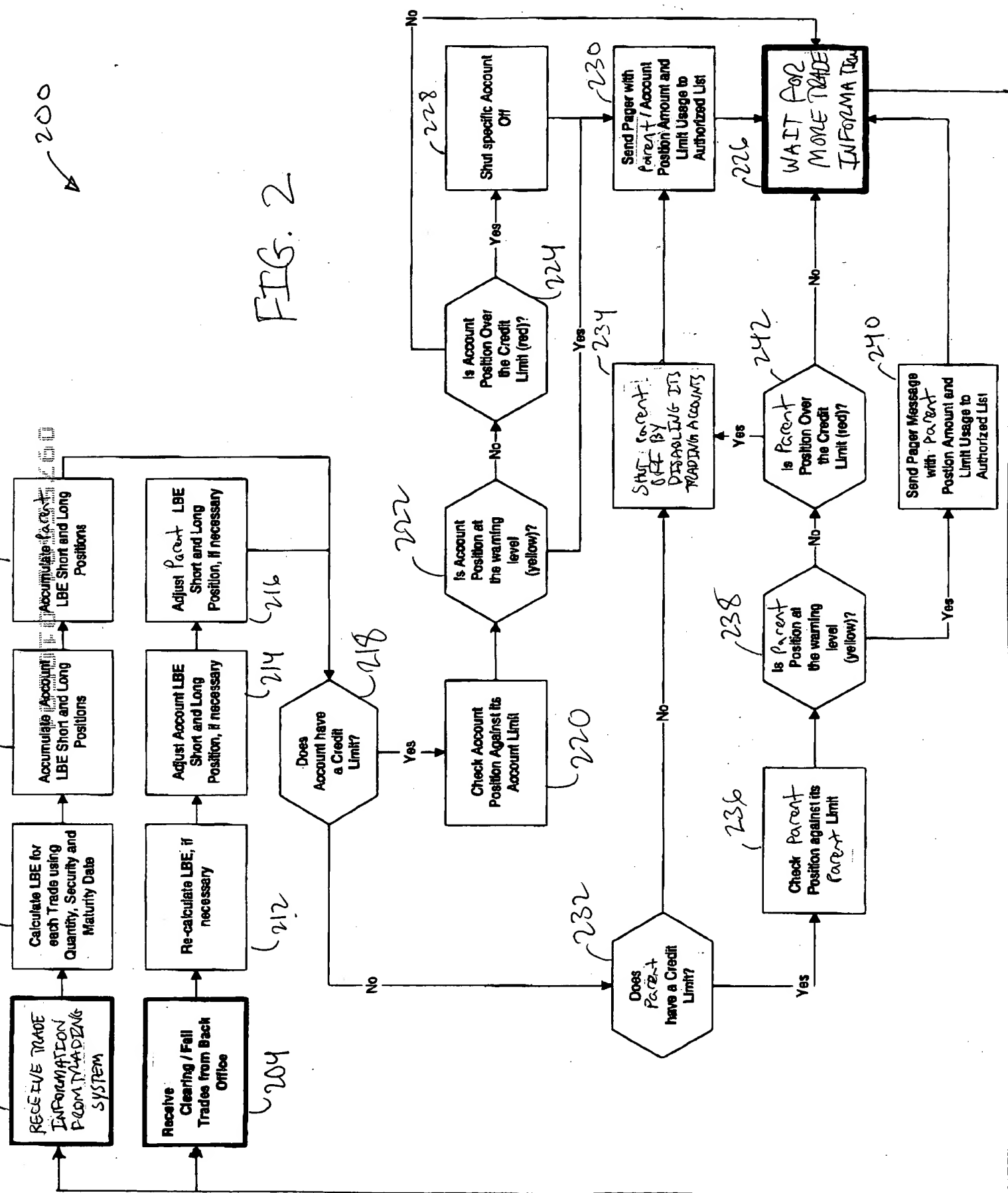
210

208

206

202

FIG. 2



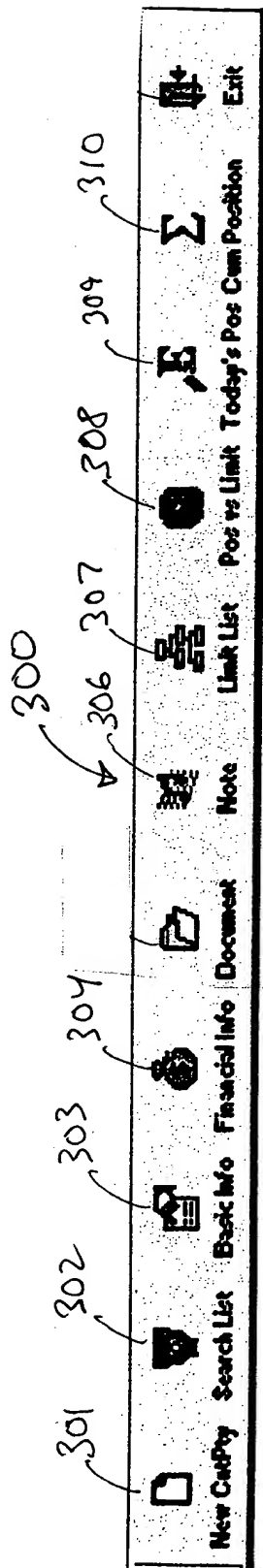


FIG. 3

TESTED - 10/5/50

400

Edit Basic Information for CounterParty

Basic Information

CounterParty ID: 1788 Credit Status: FROZEN

CounterParty Name: REPUBLIC TRADING

Short Name: RETRADE - 428 426

Date Formed: 100/00/0000 Rpt Entry Code: TOGO

Tax Nbr: 123 456 7890 - 434 Nbr Branches: 9

Type: ☐ Parent ☒ Legal Entity - 438 436

Parent Name: REPUBLIC HOLDINGS

Date Modified: 08/12/1999 17:01:11 User Modified: JONES - 446

Contact Information

Name: JOHN SMITH Dept: ACCOUNTING

phone: 555 - 1234 Title: VP

Parent Information

Parent ID: 1661 - 448 Classification: HOLDING COMPANY - 450

Parent Name: REPUBLIC HOLDINGS - 452

Status: - 454 Country: ITALY - 456

Geo Region: Europe - 458

Address Information

Type: CREDIT MAILING

Addr Street1: 1 MAIN STREET

Addr Street2: SUITE 100

City: NEW YORK

State: NY Postal Code: 10001

Country: UNITED STATES

Geo Region: North America

Descriptor Information

CLASSIFICATION PRIMARY DEALER

Link To:

Save 412

Contact 414

Address 416

Descriptor 418

Close 420

FIG. 4

500

CounterParty Contact Information

REPUBLIC TRADING

Contact Information

First Name: JOHN

Last Name: SMITH

Gender: ☒ M ☐ F

Dept: ACCOUNTING

Title: VP

phone 212-555-1234

Middle Initial: ☐

User Modified: vought

Date Modified: 12/22/1999 16:05:22

Position: CREDIT MANAGER

502

504

518

520

522

508

510

512

514

Save

Delete

Close

524 526 528

FIG. 5

700

946

758 760

15

752

FIG. 8

Select CounterParty

View Options

☐ CounterParty List

☒ Parent TreeView

Parent Tree View List

810

812

802-804

808

814

816

818

Legal Entity List

Additional Information

CounterParty Information

CounterParty ID: 845 Classification: UNCLASSIFIED

CounterParty Name: RESEARCH FINANCIAL

State: NY Country: UNITED STATES

Geo.Region: North America

Last Financial Statement

Statement ID: 65 Date: 12/22/1999 Status: AUDITED

Parent Information

Parent ID: Classification:

Parent Name:

State: Country:

Geo.Region:

SELECT

CLOSE

FIG. 8

REPUBLIC TRADING

Statement List

Id Stmt	Dt Stmt	Stmnt Status	Cmcy	Id User	Dt Modified
65	12/22/1999	AUDITED	USD	vcoaghl	12/22/1999 16:10:30

906

A

902

Statement Detail

Statement Id: 65 Stmt Dt: 12/22/1999

Dt Modified: 12/22/1999 16:10:30 Status: AUDITED

User Id: vcoaghl Currency: USD

CASH/CASH EQUIVALENTS	66,000
SECURITIES OWNED	88,000
SECURITIES BORROWED	77,000
REVERSE REPOS	55,666
RECEIVABLE FROM B/D	76,576
FAILED TO DELIVER	999
RECEIVABLE - OTHER	6,777
REPO	9,999
SECURITIES LOANED	8,888
BANK LOANS	7,777
PAYABLE TO B/D	7,654
PAYABLE TO CLEARING AGENT	33
LESS TREASURY STOCK	555
	666

↑

904

900

☐ Show All☐ Create Acc Stmt☐ Modify Acc Stmt Order

Save

Modify

New

Print

Close

908 910 912 914 916

FIG. 9

Modify Financial Statement			
REPUBLIC TRADING			
Current Stmt: 65	1010	Status: AUDITED	
Stmt Dt: 12/22/1999		Cmcy: USD	
CASH/CASH EQUIVALENTS	66,000		
SECURITIES OWNED	88,000		
SECURITIES BORROWED	77,000		
REVERSE REPOS	55,668		
RECEIVABLE FROM B/D	76,578		
RECEIVABLE FROM CUSTOMER			
FAILED TO DELIVER	999		
RECEIVABLE - OTHER	6,777		
OTHER			
TOTAL ASSETS	371,018		

1012

Save

Close

1014

1006

1008

1002

1004

FIG. 10

FIG. 11

1100

REPUBLIC TRADING

1100

1102

1104

1106

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1202

1208 1210 1200

CounterParty Limit List

Subcategory List

US TREASURY

US DEBT MARKETS

US DEBT MARKETS

CF FUTURES

EMERGING MARKETS

CF INTERNATIONAL

INTERNATIONAL DEBT

Options

☒ Select All
☐ Unselect All

Retrieve

12/4

☒ OnOff w/o Limit

1212

1204

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1228

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FIG. 12

TESTED: 10/25/2000

1304

1300

1306

Account Limit List									
Empty Lvl Limit for US TREASURY									
LBE Net		9,000,000		MTM Net		0		Current Limit Type Presumed Stm	
LBE Gross		6,000,000		MTM Gross		0		New Limit Type Presumed Stm	
VAR Net		0		Pnl Net		0		Init Warning% 70 Init % 10	
VAR Gross		0		Pnl Gross		0		User Modified	
Currency		USD		Ind Liquid		<input checked="" type="checkbox"/>		Date Modified: 08/06/1999 13:02	
Shut Off		<input type="checkbox"/>							

Account#	Account Name	Active	Shut Off	LBE Net Limit	LBE Gross Limit	Pin Net Limit	Pin Gross Limit	Min Net Limit	Min Gross Limit
1789	REPUBLIC TRADING (600)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	1,000,000	2,000,000	0	0	0	0
1790	REPUBLIC TRADING (MIR)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	1,000,000	2,000,000	0	0	0	0

4 Account(s) without Account Level Limit: Empty Level Limit is applied									
Account#	Account Name	BE Id	Id Broker	Active					
31037	REPUBLIC TRADING	U559	KH	<input checked="" type="checkbox"/>					
31038	REPUBLIC TRADING	G123	KH	<input checked="" type="checkbox"/>					
31039	REPUBLIC TRADING	G122	KH	<input checked="" type="checkbox"/>					
31034	REPUBLIC TRADING	G121	KH	<input checked="" type="checkbox"/>					

Flow Count	2	update mode	SAVE	MODIFY	NEW	Refresh	Print	Export	Close
------------	---	-------------	------	--------	-----	---------	-------	--------	-------

1302

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1314 1316

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FIG. 13

FIG. 10: 1655.60

1400

Enter Limit

Limit Subcategory: US TREASURY

Current Limit Type: Permitted Sale

Permitted Sale

LIB Net Limit	30,000,000	Max
LIB Gross Limit	60,000,000	Max
VAR Gross Limit	0	Max
VAR Net Limit	0	Max
MTM Gross Limit	0	Max
MTM Net Limit	1,000,000	Max
Principal Gross Limit	0	Max
Principal Net Limit	0	Max

Id Currency: USD

Initial Warning Level: 70 %

Warning Interval: 10 %

Inv Liquidate: ☒ Yes ☐ No

Inv Short Off: ☒ Yes ☐ No

User Modified: addition

Date Modified: 09/10/1999 16:28:17

1402

Save Done

1404 1406

FIG. 14

POSITION VS LIMIT

1504

1506

1508

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1512

1514

1501

1502

1503

1504

1505

1506

POSITION US. LIMIT

DATE 12/09/1999 14:04:07 PAGE 1 OF 1

REFRESH

MANUAL

AUTO

LIMIT CATEGORY

US DEBT MARKETS

LIMIT SUBCAT

US TREASURY

CX FUTURES

OPTIONS

SELECT ALL

UNSELECT ALL

REMOVE

CURR	NAME	LIMIT TYPE	NEW LIMIT TYPE	LIMIT SUBCAT	SHOT DEC	% Init	Qty	LBE Net Position	LBE Net Limit	% LBE Net
1788	REPUBLIC MADING	PRESUM STMT	PRESUM STMT	CX FUTURES	<input checked="" type="checkbox"/>	70	400,000,000	40,000,000	200,000,000	20.00

Row Count 1

ACCOUNT

TRANSACTION

PRESENT

CLOSE

FIG. 15

1600

1600

1601

Position vs. Limit Account Detail

READY TRADE

Account Level Position vs. Limit for FX FUTURES Date: 12/22/1999 16:36:41 Page 1 of 1

Account#	Account Name	Active/Strd Off/Int	Quantity	LBE Net Position	LBE Net Limit	XLBE Net	LBE Gross Position	LBE Gross Limit
Total			101	-7,795,276			7,952,796	
9588/ELECTRONIC 9589		<input checked="" type="checkbox"/>	50	-3,937,008		0.00	3,937,008	
9587/ELECTRONIC 9587		<input checked="" type="checkbox"/>	51	-3,858,268		0.00	4,015,788	

Row Count 2

Print

Export

Close

1602

1604

FIG. 16

1800

1806

1804

SELECT LIMIT CAT
☒ US DEBT MARKETS
☐ SUBCAT LIST
☐ US TREASURY
☐ CX FUTURES

OPTIONS
☐ SELECT ALL
☐ UNSELECT ALL

REQUEST
☒ AUTOMATIC every 30 sec
☐ MANUAL

Today's Position Date: 12/22/1998 16:44:21 Page 1 of 18

Id	CounterParty Name	Unit Subcategory	Quantity	Lbe Net Position	Lbe Gross Position	LBE Long Pos	LBE Short Pos	Var Net Position
Total			35,452	0	2,984,722,788	1,492,361,400	1,492,361,400	0
1784	READY TRADE	CX FUTURES	101	-7,755,278	7,952,756	78,740	7,874,016	0

Row Count

ACCOUNT

TRANSACTION

PRINT

CLOSE

1808

1810

FIG. 18

FOOTFO F655560

1900

Today's Account Position

READY TO GO

Today's Account Position for CX FUTURES Date: 12/22/1999 16:45:24 Page 1 of 1

Acct#	Account Name	Active	Qty	Lbs Net	Lbs Gross	Long Pos	Short Pos	Mtm Ne
Total			101	-7,795,276	7,952,796	78,740	7,874,016	
9587ELECTRONIC 9587		<input checked="" type="checkbox"/>	51	-3,858,268	4,015,748	78,740	3,937,008	
9588ELECTRONIC 9588		<input checked="" type="checkbox"/>	50	-3,937,008	3,937,008	0	3,937,008	

Row Count 2

Print

Export

Close

1904

FIG. 19

1902

109010 1655460

2004 2006

2000

Cumulative Position

Limit Category

US DEBT MARKETS

Limit Subcategory

US TREASURY
SECURITIES

Options

☒ Select All
☐ Unselect All

Retrieve

Refresh

☒ Automatic every 30 sec
☐ Manual

GO

Cumulative Position

Date: 12/22/1999 16:47:58

Page 1 of 86

Id	CounterParty Name	Limit Subcategory	Quantity	Lbe Net Position	Lbe Gross Position	LBE Long Pos	LBE Short Pos	Var Net Position
Total			3,802,635,452	181,028,943	5,632,923,827	2,906,976,385	2,725,947,442	0
608	REMSY TRADE	US TREASURY	45,000,000	-1,562,500	23,437,500	10,937,500	12,500,000	0

Row COUNT

20

ACCOUNT

TRANSACTION

PRINT

CLOSE

2002

2008

2010

FIG. 20

105010 1655360

2100

Cumulative Account Position

READY TO AD

Cumulative Account Position for US TREASURY Date: 12/22/1999 16:48:09 Page 1 of 1

Acct#	Account Name	Active	Qty	Lbs Net	Lbs Gross	Long Pos	Short Pos	Mtm Net
Total			45,000,000	-1,562,500	23,437,500	10,937,500	12,500,000	
9991 BOB		<input checked="" type="checkbox"/>	15,000,000	-1,562,500	7,812,500	3,125,000	4,687,500	
1031 MAKE		<input checked="" type="checkbox"/>	30,000,000	0	15,625,000	7,812,500	7,812,500	

Row Count 2

Print Export Close

2102

FIG. 21

2104